



INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary.)

Sheet	1	of	2
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Complete if Known

Application Number	09/540,946
Filing Date	March 31, 2000
First Named Inventor	Carl M. Ellison
Group Art Unit	2766
Examiner Name	Unassigned
Attorney Docket Number	042390.P8104

U.S. PATENT DOCUMENTS

Exam. Initials	Document Number	Date	Name	Class	Sub- class	Filing Date (if appropriate)
HH 6/6/94	4,278,837	07/14/81	Best			
HH 6/6/94	4,521,852	06/04/85	Gutttag			
HH 6/6/94	5,022,077	06/04/91	Bealkowski et al.			
HH 6/6/94	5,293,424	03/08/94	Holtey et al.			
HH 6/6/94	5,421,006	05/30/95	Jablon et al.			
HH 6/6/94	5,473,692	12/05/95	Davis			
HH 6/6/94	5,479,509	12/26/95	Ugon			
HH 6/6/94	5,568,552	10/22/96	Davis			
HH 6/6/94	5,657,445	08/12/97	Pearce			
HH 6/6/94	5,729,760	03/17/98	Poisner			
HH 6/6/94	5,796,845	08/18/98	Serikawa et al.			
HH 6/6/94	5,805,712	09/08/98	Davis			
HH 6/6/94	5,835,594	11/10/98	Albrecht et al.			
HH 6/6/94	5,844,986	12/01/98	Davis			
HH 6/6/94	5,937,063	08/10/99	Davis			
HH 6/6/94	5,978,481	11/02/99	Ganesan et al.			
HH 6/6/94	6,014,745	01/11/00	Ashe			
HH 6/6/94	6,058,478	05/02/00	Davis			
HH 6/6/94	6,158,546	12/12/00	Hanson et al.			
HH 6/6/94	6,175,925	01/16/01	Nardone et al.			
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FOREIGN PATENT DOCUMENTS

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Date
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U.S. PATENT DOCUMENTS

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Substitute for Form 1449A/PTO (Modified)

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

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Application Number	09/540,946
Filing Date	March 31, 2000
First Named Inventor:	Carl M. Ellison
Group Art Unit	2766
Examiner Name	Unassigned
Attorney Docket Number	42P8104

 Sheet **1** of **2**

U.S. PATENT DOCUMENTS

Exam. Initial*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number known	Kind Code ² (If known)			
4/14/04		4,366,537		Heller, et al.	12/28/82	
4/14/04		5,075,842		Lai	12/24/91	
4/14/04		5,255,379		Melo	10/19/93	
4/14/04		5,459,869		Spilo	10/17/95	
4/14/04		5,615,263		Takahashi	03/25/97	
4/14/04		4,307,214		Birney, et al.	07/19/77	
4/14/04		5,717,903		Bonola	02/10/98	
4/14/04		5,764,969		Kahle, et al.	06/09/98	
4/14/04		5,890,189		Nozue, et al.	03/30/99	
4/14/04		5,987,557		Ebrahim	11/16/99	
4/14/04		US2001003745		Metlitski, et al.	11/01/01	

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Exam. Initial*	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (If known)				
			EP0660112		Seimens Nixdorf <i>NOT IN ENGLISH</i> <u>Information Systeme</u>	08/06/94		
4/14/04			WO9844402		PCT	10/08/98		
4/14/04			WO9905600		PCT	02/04/99		
4/14/04			WO9909482		Seimens Nixdorf Information Systeme	02/25/99		
4/14/04			WO9957863		PCT	11/11/99		
4/14/04			WO0062232		PCT	10/19/00		
4/14/04			EP1146715		European Patent Application	10/17/01		

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Date Considered

6/2/04

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¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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Substitute for Form 1449A/PTO (Modified)

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

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Application Number	09/540,946
Filing Date	March 31, 2000
First Named Inventor:	Carl M. Ellison
Group Art Unit	2766
Examiner Name	Unassigned
Attorney Docket Number	42P8104

Sheet	2	42P8101	2
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OTHER ART – NO PATENT LITERATURE DOCUMENTS

[illegible]

Examiner Signature	<i>[Signature]</i>	Date Considered	6/2/04
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Substitute for Form 1449A/PTO (Modified)		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary) JUN 1 8 2002 PATENT & TRADEMARK OFFICE		Application Number	09/540,946
		Filing Date	3/31/00
		First Named Inventor:	Ellison, et. al.
		Group Art Unit	2766
		Examiner Name	Unassigned
		Attorney Docket Number	042390.P8108
Sheet	042390.P8104	2	
OTHER ART - NO PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
M/H 6/2/99		"M68040 USER'S MANUAL", 1993, MOTOROLA INC., page 1-5 - page 1-9, page 1-13- page 1-20, page 2-1-page 2-3, page 4-1, page 8-9-page 8-11	
M/H 6/2/99		"INTEL 386 DX MICROPROCESSOR 32-BIT CHMOS MICROPROCESSOR WITH INTEGRATED MEMORY MANAGEMENT", 12/31/95, INTEL INC., page 32-56; figure 4-14	
M/H 6/2/99		JOE HEINRICH: "MIPS R4000 MICROPROCESSOR USER'S MANUAL", 1994, MIPS TECHNOLOGY INC., MOUNTAIN VIEW, CA, pages 67-79	
M/H 6/2/99		BERG C: "HOW DO I CREATE A SIGNED APPLETT?", DR. DOBB'S JOURNAL, M&T PUBL., REDWOOD CITY, CA, US, VOL. 22, NO. 8, 8 '97, page 109-111, 122.	
M/H 6/2/99		GONG L ET AL: "GOING BEYOND THE SANDBOX: AN OVERVIEW OF THE NEW SECURITY ARCHITECTURE IN THE JAVA DEVELOPMENT KIT 1.2", PROCEEDINGS OF THE USENIX SYMPOSIUM ON INTERNET TECHNOLOGIES AND SYSTEMS, MONTERY, CA 12 '97, pages 103-112	

Examiner Signature	<i>M. H. 6/2/99</i>	Date Considered	6/2/04
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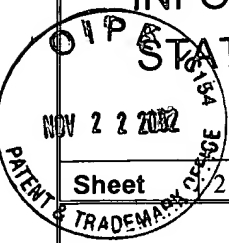
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¹Unique citation designation number. ²Applicant is to place a check mark here if English language Translation is attached.

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Substitute for Form 1449A/PTO (Modified)		Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)		Application Number	09/540,946
		Filing Date	March 31, 2000
		First Named Inventor:	Carl M. Ellison
		Group Art Unit	2766
		Examiner Name	Unassigned
Sheet 2	of 2	Attorney Docket Number	042390P8104



OTHER ART – NO PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
MH 6/2/04		GOLDBERG, R., "Survey of virtual machine research," IEEE Computer Magazine 7(6), pp. 34-45, 1974.	
MH 6/2/04		GUM, P.H., "System/370 Extended Architecture: Facilities for Virtual Machines," IBM J. Research Development, Vol 27, Number 6, pp. 530-544, November 1983	
MH 6/2/04		ROSENBLUM, M. "Vmware's Virtual Platform: A Virtual Machine Monitor for Commodity PCs," Proceedings of the 11th Hotchips Conference, pp. 185-196, August 1999.	
MH 6/2/04		LAWTON, K., "Running Multiple Operating Systems Concurrently on an IA32 PC Using Virtualization Techniques," http://www.plex86.org/research/paper.txt ; 11/29/1999; pp. 1-31.	

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7/10

Electronic Information Disclosure Statement

Protecting Software Environment in Isolated Execution

Application:



09/540946

Confirmation: 3228

Applicant(s): Carl Ellison

Docket Number: 042390.P8104

Group Art Unit: 2766

Examiner: Unassigned

search string:

(4037214 or 5079737 or 5386552 or 5628022 or 5737760 or 5757919 or 5852717 or 5872994 or 6055637 or 6085296 or 6125430 or 6148379 or 6192455 or 6249872 or 6272533 or 6292874 or 6301646 or 6321314 or 6339815 or 6339816 or 6499123 or 6505279 or 20010021969 or 20010027527).pn.

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US Patent Documents



Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
MH	P01	4037214	1977-07-19		Birney, et al.	711	206
MH	P02	5079737	1992-01-07		Hackbarth	711	164
MH	P03	5386552	1995-01-31		Garney	714	10
MH	P04	5628022	1997-05-06		Ueno, et al.	712	37

M/H	P05	5737760	1998-04-07		Grimmer, Jr., et al.	711/163
M/H	P06	5757919	1998-05-26		Herbert, et al.	713/187
M/H	P07	5852717	1998-12-22		Bhide, et al.	709/203
M/H	P08	5872994	1999-02-16		Akiyama, et al.	712/43
M/H	P09	6055637	2000-04-25		Hudson, et al.	713/201
M/H	P10	6085296	2000-07-04		Karkhanis, et al.	711/147
M/H	P11	6125430	2000-09-26		Noel, et al.	711/152
M/H	P12	6148379	2000-11-14		Schimmel	711/152
M/H	P13	6192455	2001-02-20		Bogin, et al.	711/154
M/H	P14	6249872	2001-06-19		Wildgrube, et al.	713/200
M/H	P15	6272533	2001-08-07		Browne	709/213
M/H	P16	6292874	2001-09-18		Barnett	711/153
M/H	P17	6301646	2001-10-09		Hostetter	711/206
M/H	P18	6321314	2001-11-20		Van Dyke	711/163
M/H	P19	6339815	2002-01-15		Feng, et al.	711/163
M/H	P20	6339816	2002-01-15		Bausch	711/163
M/H	P21	6499123	2002-12-24		McFarland, et al.	714/724
M/H	P22	6505279	2003-01-07		Phillips, et al.	711/163

Published Applications

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

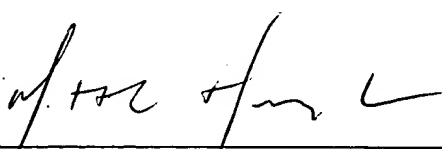
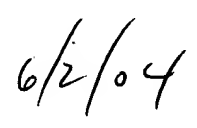
init	Citation No.	Patent Number	Date	Bar Code	Patentee	Class	Subclass
MF	U01	20010021969	2001-09-13		Burger, et al.	711	207
MF	U02	20010027527	2001-10-04		Khidekel, et al.	713	201

Remarks

(Remarks are not for responding to an office action.)

Applicants, in accordance with their duty of disclosure under 37 CFR 1.56 and in accordance with 37 CFR 1.97(b)(3), hereby submit this Electronic Information Disclosure Statement citing U.S. Patent Documents for consideration by the Examiner. Pursuant to 37 CFR 1.97, the submission of this Electronic Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability. This Electronic Information Disclosure Statement is being filed prior to a substantive examination of the claims. Pursuant to 37 CFR 1.97(b), no fee should be required for the filing of this Electronic Information Disclosure Statement. In the event it is determined that a fee is due, please charge the fee to Deposit Account 02-2666. Applicants respectfully request that the cited documents be considered and that the form be initialed by the Examiner to indicate such consideration and a copy thereof be returned to Applicants' attorney of record.

Signature

Examiner Name	Date
	

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Sheet

of

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Application Number	09/540,946
Filing Date	3/31/2000
First Named Inventor:	Ellison, et al.
Group Art Unit	2766
Examiner Name	Unassigned
Attorney Docket Number	042390.P8104

U.S. PATENT DOCUMENTS

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FOREIGN PATENT DOCUMENTS

[illegible]

Examiner Signature	<i>M. H. L. H. L.</i>	Date Considered	6/2/04
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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STATEMENT BY

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PATENT 4,730,209

Parent Document

Complete if Known

Application Number	09/540,946
Filing Date	3/31/2000
First Named Inventor:	Ellison, et al.
Group Art Unit	2766
Examiner Name	Unassigned
Attorney Docket Number	042390.P8104

Sheet 1 of 2

U.S. PATENT DOCUMENTS

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Sheet	2	Attorney Docket Number	042390.P8104
OTHER ART – NO PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
M/H 6/2/04		"Information Display Technique for a Terminate Stay Resident Program," IBM Technical Disclosure Bulletin, TDB-ACC-No. NA9112156, 12/1/91, pp. 156-158, Vol. 34, Issue No. 7A	
M/H 6/2/04		KARGER, PAUL A., et al., "A VMM Security Kernel for the VAX Architecture," Proceedings of the Symposium on Research in Security and Privacy, 5/7/1990, pp. 2-19, XP010020182, ISBN: 0-8186-2060-9, Boxborough, MA.	
M/H 6/2/04		CHIEN, ANDREW A., et al., "Safe and Protected Execution for the Morph/AMRM Reconfigurable Processor," 7th Annual IEEE Symposium, FCCM '99 Proceedings 4/21/1999, pp. 209-221, XP010359180, ISBN: 0-7695-0375-6, Los Alamitos, CA.	

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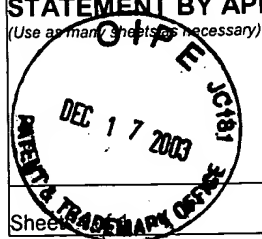
ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of Invention	Protecting Software Environment in Isolated Execution						
<div>Application Number: 09/540946</div> <div>Confirmation Number: 3228</div> <div>First Named Applicant: Carl Ellison</div> <div>Attorney Docket Number: 42P08104</div> <div>Art Unit: 2766</div> <div>Examiner: Unknown Unknown</div> <div>Search string: (4247905 or 4347565 or 5319760 or 5437033 or 5511217 or 5522075 or 5737604 or 5854913 or 6075938 or 6182089 or 6272637 or 6314409 or 6374317 or 6397242).pn.</div> <div>RECEIVED AUG 26 2003 GROUP 3600</div>							
US Patent Documents							
Note: Applicant is not required to submit a paper copy of cited US Patent Documents							
init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
✓/H	1	4247905	1981-01-27	Yoshida, Yukihiro , et al.			
✓/H	2	4347565	1982-08-31	Kaneda, Saburo , et al.			
✓/H	3	5319760	1994-06-07	Mason, Andrew H., et al.			
✓/H	4	5437033	1995-07-25	Inoue, Taro , et al.			
✓/H	5	5511217	1996-04-23	Nakajima, Atsushi , et al.			
✓/H	6	5522075	1996-05-28	Robinson, Paul T., et al.			
✓/H	7	5737604	1998-04-07	Miller, David A., et al.			
✓/H	8	5854913	1998-12-29	Goetz, John W., et al.			
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✓/H	12	6314409	2001-11-06	Schneck, Paul B., et al.			
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✓/H	14	6397242	2002-05-28	Devine, Scott W., et al.			
Remarks							

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Complete if Known

Application Number	09/540946
Filing Date	March 31, 2000
First Named Inventor	Ellison, Carl M.
Group Art Unit	2766
Examiner Name	Unassigned

Attorney Docket No: 42P08104

US PATENT DOCUMENTS

Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	Filing Date If Appropriate

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Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T ²
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Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
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